

# RECIPIENT TRAINING

## FY 2016 Funding Cycle

WATER QUALITY PROGRAM

### Facility Projects Agenda

- Important Dates to Remember
- Grant and Loan Agreements
  - ▣ Scope of Work
  - ▣ Budget/Funding Distributions
- SRF Loan Conditions
- Pre-requisites to Signing a Funding Agreement
- Amendments
- Closeout
- Bid Process
- Payment Requests/Progress Reports

### Important Dates

- Agreements must be signed by both parties within **6 months** of the publication date of the combined Final Offer and Applicant List.
- Work on the project must begin within **10 months** after the publication date of the combined Final Offer and Applicant List.
- The project must be completed within **5 years** of the publication date of the combined Final Offer and Applicant List.

### Grant & Loan Agreements




### Scope of Work

- Task Title (EAGL Forms)
- Task Cost (EAGL Forms)
- Task Description (Facilities Template)
- Task Goal Statement (EAGL Forms)
- Task Expected Outcome (EAGL Forms)
- Deliverables (Facilities Template)

### Funding Distribution (Budget)

- Funding Title
- Funding Type
- Funding Effective Date
- Funding Expiration Date
- Funding Source
- Interest Rate & Terms
- Project Start Date/Completion Date/I of O Date
- Loan Security



Budget (Funding Distribution Example)

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Centennial Grant		Task Total		
1.Project Administration				\$0
2.Construction Management				\$0
3.Construction				\$5,000,000
4.Change Orders				\$0
Total :				\$5,000,000
SRF Standard Loan		Task Total		
1.Project Administration				0
2.Construction Management				\$1,500,000
3.Construction				\$8,100,000
4.Change Orders				\$405,000
Total :				\$10,005,000
Funding Distribution Name	Recipient Match %	Recipient Share	Ecology Share	Total
Centennial Grant	%	\$	\$5,000,000	\$5,000,000
SRF Standard Loan	%	\$	\$10,005,000	\$10,005,000
Total		\$	\$15,005,000	\$15,005,000

Water Resources Reform and Development Act

- Amendment to the Clean Water Act
- New Eligibilities
- New Requirements
  - A&E procurement (Federal)
  - Fiscal Sustainability Plan
  - Cost and Effectives Report
  - "Equivalency"

SRF Loan Conditions

- ALL Projects (
  - American Iron and Steel
  - Davis-Bacon
    - Weekly, Certified Payrolls
    - Fringe Benefits
    - Spot Checks, Interviews, Apprentices
  - Fiscal Sustainability Plan
  - SERP and cultural resources review
  - Disadvantaged Business Enterprises

SRF Loan Conditions

- ALL Projects (
  - Loan Security
  - Repayment
  - Ongoing O&M
  - Sewer Use Ordinance
  - User Charge System
  - Post Project Assessment

SRF Loan Conditions

- Equivalency Projects (identified in IUP)
  - Consultation under Federal Environmental Cross Cutters.
  - A&E Procurement
  - Uniform Relocation and Real Property Acquisition Act

Required Forms & Documentation

- The following must be completed, signed (if applicable), and submitted before a funding agreement can be signed by Ecology:
  - State Revolving Fund Loans
    - Financial Capability Assessment Documentation
    - Opinion of Legal Council
    - Copy of Authorizing Ordinance or Resolution
    - SRF Initial Data Reporting Form (now in EAGL)
    - Federal Accountability & Transparency Act (FFATA) Form

### Amendments

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- Formal Process:
  - Requires Both Ecology and Recipient's Signatures
  - Can be Initiated by Either Ecology or the Recipient
  - Extensions: Submit Request **3 Months** Prior to Expiration Date
  - Scope of Work and Budget Modifications that Effect Deliverables
- Project Close-Out
  - Process in EAGL is Similar to Developing an Agreement

### Project Close-out

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- Up to 10% of the Grant Amount May Be Held Until All Deliverables Are Submitted and Approved.
- Final Payment Requests and All Required Financial, Performance, and Other Deliverables (Final Project Report) Must Be Submitted No Later Than **45 Days** After the Funding Agreement Expiration/Completion Date.
- A Final Amendment Along With a Final Amortization Schedule Must Be Completed to Officially Close-out a Loan.
- A Grant Does Not Require a Final Amendment.

### Questions?

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### RESPONSIBILITIES DURING BID, AWARD, AND PRE - CONSTRUCTION

### Important

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- American Iron & Steel (AIS)
- Davis Bacon
- Disadvantaged Business Enterprises (DBE)
- Suspension and Debarment

### Procuring Engineering Services

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- Advertisement for Bids (submit to Ecology)
- Include Ecology language in your contract (Specification Inserts)
  - Suspension and Debarment
  - Disadvantaged Business
  - Funding Recognition
  - Access to Records
- Follow State Procurement Laws\*.

### Bid Process

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- Advertisement for Bids (submit to Ecology)
- Include Ecology language in your bid documents (Specification Inserts)
  - Davis-Bacon
    - Include the correct federal wage determination
  - Suspension and Debarment
  - American Iron and Steel
  - Funding Recognition (Signage)
  - Disadvantaged Business
  - Equal Employment Opportunity
- Follow State Procurement Laws
- All Addenda (Add Ecology to Bidders list)

### Contract Award (Deliverables)

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- Bid Tabulations
- Bid Proposal From the Successful Low Bidder
- SAM.gov Reports for Contractor and Subcontractors
- Notice of Award
- Executed Contract with Contractor
- All Other Contracts
  - Construction Oversight
  - Engineering Services
  - Force Account

### Start of Work

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- Pre-construction Meeting (Invite Ecology)
- Construction Quality Assurance Plan
- Schedule of Values
- Notice to Proceed
- Construction Schedule

### Construction

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- All Change Orders to the Construction Contract
  - Required Before Ecology Can Pay For the Work.
  - "Significant" Change Orders Must Be Pre-approved
- Notify Ecology at Initiation of Operation
- Operation and Maintenance Manual
- Substantial Completion by Owner
- Declaration of Construction Completion.
- Record Drawings
- Final Acceptance by Owner

### Project Close-Out (Deliverables)

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- Complete and Submit all deliverables
- Final Payment Request / Progress Report
- Ecology Project Close Out Report
  - Project Summary
  - Lessons Learned
  - Photos

### Other Requirements

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- Investment Grade Efficiently Audit (IGEA)
  - Consider energy and water efficiency measures you could implement today
    - Third party input
    - Funded Project? or whole utility?
- Fiscal Sustainability Plan (FSP)
  - Plan for future management of assets owned by the Utility
    1. An inventory of critical assets that are part of the system.
    2. An evaluation of the condition and performance of the critical assets.
    3. A plan to maintain, repair, and replace the critical assets and to fund those activities.
    4. A process to evaluate and implement water and energy conservation efforts as part of the plan.

### FSP Certification

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### Questions?

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### Payment Request/Progress Reports (PRPR)

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- Backup Documentation
  - Readable (if you can't read the numbers, neither can we)
  - Organized
  - D Form Uploaded Separately
  - Communicate with Project Management Team to Ensure Progress Reports Include all Necessary Info (this may change on a project by project basis)